

Event Vetting

Government employees, particularly high-level officials like United States Attorneys, are subject to ethical restrictions governing the types of events they may attend. Some restrictions relate to benefits, including luncheons, dinners and tokens of appreciation, they may accept. Other restrictions relate, among other things, to participation in events that are sponsored by persons who do business with or lobby the Government; that have a fundraising component; where it may appear that official attendance is being used to promote the event or the sponsor; or where elected officials may be in attendance. To assist us in vetting compliance with government ethical restrictions, we would appreciate it if you could provide the following information. If you do not have specific information for each response, please provide such general or descriptive information as you currently have. Please do not hesitate to call the Office's Government Ethics Advisor, (b)(6), (b)(7)c , at (b)(6), (b)(7)c or e-mail him at (b)(6), (b)(7)c to discuss this.

- Name, date and time, and location of event.

Security Traders Association of Chicago (STAC) Mid-Winter Meeting | January 22-24, 2014 | Hilton Chicago, 720 S. Michigan

- Format of event (*e.g.*, cocktails; presentations; speeches; and/or meal).

3 day conference featuring educational sessions, keynote speakers, meals and cocktail hours

- Estimated cost per attendee of event.

STAC members attend for free. NonMembers: \$495. If you mean what it costs us per attendee – it varies but the food and beverage cost per person will average out around \$250 if they attend all the functions.

- Are any attendees being charged to attend the event? If so, who (in general) is being offered free attendance, and who is expected to pay?

STAC members, Speakers and Sponsors do not pay to attend. Nonmembers pay \$495

- Name of entity extending the invitation and link to web site (if any).

Security Traders Association of Chicago (STAC)– www.stachicago.org

- Does the entity extending the invitation engage in lobbying?

STAC is a local affiliate of a national organization and we do not engage in lobbying. Our parent organization, STA does (approximately \$50 per members goes toward lobbying at the national level.) However STAC is a completely separate legal entity with its own 501 c6 designation and its own Tax id from STA.

- Sponsor of event if different from above.

Our list of sponsors can be found at www.stachicago.org. It's being added to every day.

- Does the sponsor of the event engage in lobbying?

We don't know.

- Names of additional entities that will be recognized for sponsorship or support of the event.
All will be listed on the home page of our website as they confirm. <http://www.stachicago.org/>
- How many persons are expected to attend? 750-850
- Demographics of expected attendees (e.g., lawyers; law enforcement; business leaders; students; etc.) Those who work in the security trading industry, mostly traders, but also compliance officers, exchange employees, technology firms and those in sales and marketing.
- Are any elected officials expected to attend and, if so, what is their expected role?
Not at the moment, but we do occasionally end up with a visit from an elected official and while they would not have a specified role, we do occasionally set up meetings for them to meet with STAC and STA leadership as well as any of their constituents that might be in attendance.
- Fundraising: component (e.g., programs; dinner ticket price)
 - o Via dinner tickets or advance tickets to the event? Please describe.
The registration fee covers all functions.
 - o Via program advertisement or similar advance solicitation? Please describe.
We do sell ads in our program as well as sponsorships. Here is a link to the brochure with all advertising/sponsorship opportunities
http://c.ymcdn.com/sites/www.stachicago.org/resource/resmgr/mwm_2014/sponsorship_opportunity_and_.pdf
 - o Will there be any solicitation of funds at the event? Please describe.
STAC has a charitable arm, the STAC Scholarship Fund. We hold a raffle and silent auction to support the STAC Fund. The Fund is a registered 501C3 organization and we have a raffle license with the city of Chicago. The Fund is a non-profit corporation in good standing in the state of Illinois.
- Expected role of U.S. Attorney (e.g., simple attendance; remarks; speech)
 - o If the U.S. Attorney is being honored, who else is expected to be honored?
 - o If the U.S. Attorney is making a presentation, who else is expected to be making a presentation/be on a panel? The US Attorney will be the sole presenter at his session.
- Any special seating arrangements for U.S. Attorney (e.g., dais, general seating—depending on the nature of the event, the U.S. Attorney may or may not be able to accept “dais” seating.)
The US Attorney will be speaking at a general session with no assigned seating. There is a banquet that evening and we would be honored if Mr. Bharara would attend, in which case we would seat him with association leaders.

- Please describe what if any award/presentation the U.S. Attorney will receive

☐ nothing

☒ plaque or other memento of little intrinsic value

☐ other. Please describe, including its value: _____

- Promotion of the event: please provide a copy of or link to the invitation/promotional material for the event (or if not available, for the prior year's event).

Online registration from website -

http://www.stachicago.org/events/event_details.asp?id=366924

First Email Notice on the event: https://stachicago.site-ym.com/admin/email/bulk_email_body.asp?id=1107348